



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE



FEBRUARY 20, 2002

PTAS

COUDERT BROTHERS LLP  
J.D. HARRIMAN II, ESQ.  
333 SOUTH HOPE STREET  
SUITE 2300  
LOS ANGELES, CA 90071

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
[www.uspto.gov](http://www.uspto.gov)



\*101930164A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY  
SUITE 320, WASHINGTON, D.C. 20231.

**RECEIVED**

RECORDATION DATE: 12/12/2001

REEL/FRAME: 012400/0873

NUMBER OF PAGES: 3      Technology Center 2100

APR 30 2003

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HOLTZ, BRIAN

DOC DATE: 11/07/2001

ASSIGNOR:

BALASUBRAMANIAN, VIJAY

DOC DATE: 11/28/2001

ASSIGNOR:

DUBEY, NIDHEESH

DOC DATE: 11/15/2001

ASSIGNOR:

SHARMA, ASEEM

DOC DATE: 11/28/2001

ASSIGNOR:

PANDEY, VIVEK

DOC DATE: 11/28/2001

ASSIGNEE:

SUN MICROSYSTEMS, INC.  
901 SAN ANTONIO ROAD  
PALO ALTO, CALIFORNIA 94303

**RECEIVED**

FEB 25 2002

COUDERT BROTHERS

012400/0873 PAGE 2

SERIAL NUMBER: 10021943  
PATENT NUMBER:

FILING DATE: 12/12/2001  
ISSUE DATE:

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

01-02-2002

FORM PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)



U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

101930164

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies):            1. Brian Holtz            2. Vijay Balasubramanian            3. Nidheesh Dubey            4. Aseem Sharma            5. Vivek Pandey   <i>mfp 12/12/01</i> </p>		<p>2. Name and address of receiving party(ies):            SUN MICROSYSTEMS, INC.            901 San Antonio Road            Palo Alto, California 94303</p>
<p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		<p>Additional name(s) &amp; address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>CERTIFICATE OF MAILING 37 CFR §1.10</b></p>
<p>3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment  <input type="checkbox"/> Security Agreement  <input type="checkbox"/> Merger  <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other:</p>		<p>"Express Mail" Mailing Label Number: EK 919611349 US            Date of Deposit: December 12, 2001</p>
<p>Execution Date: 1. November 7, 2001            2. November 28, 2001            3. November 15, 2001            4. November 28, 2001            5. November 28, 2001</p>		<p>I hereby certify that this paper, accompanying documents and fee are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR §1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231, Box Patent Application.    <i>José Ramos</i>            José Ramos</p>
<p>4. Application number(s) or patent number(s):            If this document is being filed together with a new application, the execution date of the application is: December 12, 2001</p>		
<p>A. Patent Application No.(s)   <i>10021943</i></p>		<p>B. Patent No.(s)</p>
<p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		
<p>5. Name and address of party to whom correspondence concerning document should be mailed:            J. D. Harriman II, Esq.            COUDERT BROTHERS LLP            333 South Hope Street, Suite 2300            Los Angeles, California 90071</p>		<p>6. Total number of applications and patents involved: 1</p>
		<p>7. Total fee (37 CFR 1.21(h)): \$40.00</p>
		<p><input checked="" type="checkbox"/> Enclosed</p>
		<p><input type="checkbox"/> Authorized to be charged to deposit account</p>
<p>8. Deposit account number:  <small>(Attach duplicate copy of this page if paying by deposit account)</small></p>		
<p align="center"><b>DO NOT USE THIS SPACE</b></p>		
<p>9. Statement and signature.  <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i></p>		
<p>J. D. Harriman II - Reg. No. 31,967            Typed Name and Reg. No.</p>		<p align="right">December 12, 2001            Date</p>
<p align="center">Signature</p>		
<p align="center">Total number of pages comprising cover sheet: 3</p>		
<p align="center">Mail documents to be recorded with required cover sheet information to:            Commissioner of Patents &amp; Trademarks, Box Assignments            Washington, D.C. 20231</p>		

*JC926 U.S. PRO  
10/02/1943  
12/12/01*

**ASSIGNMENT**

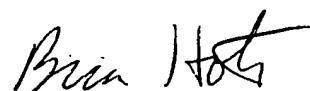
For good and valuable consideration, the receipt of which is hereby acknowledged, I  
(We) the undersigned, **BRIAN HOLTZ, VIJAY BALASUBRAMANIAN, NIDHEESH  
DUBEY, ASEEM SHARMA, and VIVEK PANDEY** hereby sell(s), assign(s) and transfer(s) to  
**SUN MICROSYSTEMS, INC.**, a Delaware Corporation, having a principal place of business at  
901 San Antonio Road, Palo Alto, California 94303, ("Assignee"), its successors, assigns and  
legal representatives, my (our) entire right, title and interest for the United States and all foreign  
countries, in and to any and all improvements which are disclosed in the application for United  
States Letters Patent, which is being filed concurrently herewith, and is entitled:

**"FILE TREE COMPARATOR"**

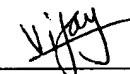
and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all  
other applications for Letters Patent which have been or shall be filed in the United States and all  
foreign countries on any of said improvements; and in and to all original and reissued patents  
which have been or shall be issued in the United States and all foreign countries on said  
improvements; and in and to all rights of priority resulting from the filing of said United States  
application; agree that said Assignee may apply for and receive Letters Patent for said  
improvements in its own name; and that, when requested, without charge to, but at the expense  
of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the  
intent and purpose of this Assignment, the undersigned will execute all divisional, continuing,  
substitute, renewal, reissue, and all other patent applications on any and all said improvements;  
execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said  
Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating  
to said improvements and the history thereof; and generally do everything possible which said

Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has (have) been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

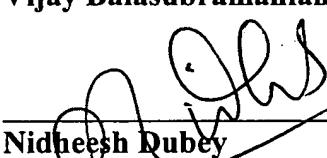
Dated: 2001-11-07

  
\_\_\_\_\_  
**Brian Holtz**

Dated: 11/28/01

  
\_\_\_\_\_  
**Vijay Balasubramanian**

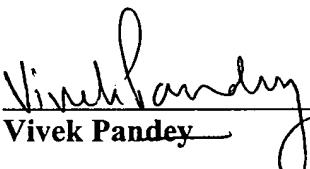
Dated: 2001-11-15

  
\_\_\_\_\_  
**Nidheesh Dubey** 12/17/01

Dated: 11/28/01

  
\_\_\_\_\_  
**Aseem Sharma**

Dated: 11/28/01

  
\_\_\_\_\_  
**Vivek Pandey**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Brian Holtz, et al.

Application No./Patent No.: 10/021,943

Filed/Issue Date: December 12, 2001

Entitled: File Tree Comparator

Sun Microsystems, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_

To:

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_

To:

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_

To:

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

4/16/03

Date

JLMy

Signature

Jeffrey L. Myers

Typed or printed name

Patent Counsel

Title

**RECEIVED**

APR 30 2003

Technology Center 2100

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.